ARMA Vancouver Island and Government Records Services

EDRMS in Theory and Practice
October 8, 2016
Our Safari into EDRMS

Presented by Bernice Chong,
Manager of Operations at the Law Society of B.C.
Itinerary

• Operations and functions
• History of records and Information management
• ARMA’s principles
• Processes
• Challenges
• Lessons learned
Mission:
“The principle aim of the Law Society of BC is a public well-served by a competent, honourable and independent legal profession. The secondary aim is the promotion and protection of lawyers’ interests provided it does not derogate from the principal aim.”
Functions

• Operational functions
  – Admission
  – Investigations
  – Practice advice
  – Audits, research, analysis
  – Informing & protecting public
  – Custodianships, locums
  – Lawyers Insurance Fund
Staff Breakdown

101 Administrative professionals
47 Lawyers
26 Managers
24 Professionals (Accountants, Human Resources, etc.)
A Brief History

1984 - Centenary archives

1991 - Legal archives transfer

LSIS - Membership database

1991 - Full-time Manager & Records Clerk

Present - Records & Information Management Analyst

- Records Assistant,
- Records and Library Technician,
Information Culture

- Little appetite/appreciation
- In house databases
- E-Drive: departmental groupings
- P-Drive: personal files
- Official record was paper copy
- Name-it, file-it, destroy-it
- E-mail reduction
Core Process Review

- Categories of solution
  - EDRMS
  - Communications
  - New processes
  - Policy changes
  - Training
  - Access to information
Core Process Review Findings

• Solutions were not compatible
  – Universal spreadsheet
  – Colour coded binders
  – Historical records digitized
  – Scan reports for access
Next Step

- Consulted with third party regarding
  - Law Society Information System
  - Case management system
  - Leveraging LSIS
  - Business & IT policies
  - Law Society culture impact
  - How records are managed
ARMA’s Principles

- Level 1 (Sub-Standard)-recordkeeping concerns are not addressed/ad hoc
- Level 2 (In Development)-recognition that recordkeeping is important
- Level 3 (Essential)-legal requirements met
- Level 4 (Proactive)-initiating improvements
- Level 5 (Transformational)-integrated governance into corporation
Information Management Assessment Report Findings

• Accountability ★ ★
• Transparency ★ ★
• Integrity ★
• Protection ★ ★
• Compliance ★
• Availability ★
• Retention ★ ★
• Disposition ★ ★
  – Most standards were rated as in development
  – Law Society not an information centric culture
Implementation Process

1. Principles
2. Best practices
3. Results of CPR
4. Funding
5. Phases
Standards for the Project

• External standards
  – ISO 15489 Records Management, ARMA, CAN/CGSB 72.34-2005, DoD 5015.2

• Results will comply with
  – Legal Profession Act, FOIPP, Canadian Evidence Act, Limitation Act
  – Different information management processes and policies
  – LSIS modifications
LEO

“It’s the king of the jungle and it’s the biggest project, the Law Society has ever undertaken to date.”
Time Frame

Phase 1: Plan
October – December 31, 2011

Phase 2: Design
January 4 – March 31, 2012

Phase 3: Procure
April 1 – June 30, 2012

Phase 4: Implement
July 1 – September 7, 2012

Phase 5: Pilot
September 8 – December 31, 2012

Phase 6: Rollout
January 1 – June 30, 2013
Information Policy Principles

• Information is a critical asset
• Whole Law Society approach
• Respect for privacy
• Security access
• Transparency and accountability
• Responsibility of all staff
• “Because of Leo, every Law Society employee will play a role in managing and protecting our information – one of our most important assets – and will be empowered to access information and work collaboratively using best practices, all of which will enhance the employment experience and our ability as regulators.”
Time Frame - Design

Phase 1: Plan
January 4 - March 31, 2012

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User Needs Survey

• *Records & Information Management Analyst* Myshkaa McKeen interviewed staff
  – 188 persons

• Managers are not document creators
  – Staff need tools to increase effectiveness
Leo Liaisons

- Gathering information
  - Key issues
- Report back to departments
- Weekly meetings
  - Feedback
    - Taxonomy
    - Security
    - Metadata
    - Migration plan
- Deadline: April 30, 2012
File Plan

Term / File / Part
01-Act, Rules and Code
02-Administration
03-Benchers, Committees and Meetings
04-Building, Facilities, Properties
05-Communications
06-Credentials and Registration Services
07-Custodianships
08-Discipline and Regulation
09-Education
10-Equipment and Supplies
11-Finance
12-Human Resources
13-Information Systems and Services
14-Juricert
15-Lawyers Insurance Fund
16-Legal Matters
17-Policy and Strategic Planning
18-Practice Advice
20-Tribunal
21-Trust Regulation
97-Temporary Space
98-Templates
99-File Where?
Discipline File Plan

Term \ File \ Part
1510-Ombudsperson Inquiry Case Files
1535-Complaints - Administration
1545-Complaints - Case Files
1605-Practice Standards - Administration
1615-Practice Standards - Case Files
1620-Discipline - Administration
1630-Discipline - Case Files
1680-Investigations - Case Files
1760-Member Assistance Programs - Individual
1770-Monitoring Enforcement for Discipline
2105-Unauthorized Practice - Administration
2110-Unauthorized Practice - Case Files
3925-Financial Difficulty - Case Files
Case Files

- 20-Discipline Inquiry Case Files
- 30-Conduct Meetings Case Files
- 40-Conduct Review Case Files
- 45-Conduct Review Subcommittee Report
- 50-Citation Case Files
- 60-Professional Conduct Records
Security Matrix

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<th>CLO</th>
<th>CFO</th>
<th>Communications</th>
<th>Custodian</th>
<th>Discipline</th>
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Migration Planning

- Official paper culture
- Duplicate copies
- City of Vancouver model
- Bencher, Executive Committee minutes into LEO
- Shut off shared drives
  - Success of EDRMS
  - No opting out
Document Profile Form
Researching Local Organizations

• Spring 2012
  – Local site visits
    • City of Richmond
    • City of Vancouver
    • BC Securities Commission
    • Powerex
      – Questions
      – Concerns
Safari into LEO
Time Frame - Procure

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Phase 6: Rollout
January 1 - June 30, 2013
Request for Proposal

- 4 vendor demonstrations
- Contract finalized
  - OpenText eDocs RM 4.3.1.1004
  - OpenText 5.3. Edocs
  - Email auto bulk filer by Traen
  - PDF docs (OCR engine on the server side)
Time Frame - Implement

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Phase 3: Procure

Phase 4: Implement
July 1 - September 7, 2012

Phase 5: Pilot
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Phase 6: Rollout
January 1 - June 30, 2013
Implementation

• Myshkaa McKeen, *Records & Information Management Analyst*
  – Built the taxonomy from *scratch*
  – Tested the taxonomy construction

• IT did installations
Time Frame - Pilot

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Phase 6: Rollout
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Pilot Project

- Selection based on:
  - Risk
  - Profile
  - Technology skills
- Discipline
  - Super user
  - Expanded to other staff
- LSIS linking documents
  - Useful
  - Optional
Approvals

• October 18, 2012 CEO called meeting
  – Finalize policies
  – File plan
  – Closure of shared drives
  – Security
  – Document profile
  – E-mail cap
Time Frame - Rollout

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LSBC Show their Pride
Evolution of Shared Drives

The progression of documents saved in the shared drives.
In June, 2013 we had 118,135 compared to 877 in June 2014.
June 30 - Project Completion
Lessons Learned

- Commitment from top
- Engage the staff
- Stay focused
- Close shared drives
- IT is your ally
- Find the influencers
- Simplicity is key
- Work with the business
- Hold onto your record principles
- Ongoing training
- Recognize your strengths
- Nothing is perfect
Knowledge Transfer in LEO

- 2013: 51,346
- 2014: 79,269
- 2015: 255,016

10/6/2015
Things we did not Expect

- Privacy endorsement of EDRMS
- Legal holds – RIM role
- Computer Literacy working group
- Knowledge management working group
What’s next?

Vision
Because of Leo, every Law Society employee will play a role in managing and protecting our information – one of our most important assets – and will be empowered to access information and work collaboratively using best practices, all of which will enhance the employment experience and our ability as regulators.

- Test modules
- LSIS
- Business analysis
- Scanning pilot
- Documents as records
- Continued training
- Digital archiving
Thank you

Questions

Feedback

Comments
References

Where to find us

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